

10/582404

1AP20Rec'd PCT/PTO 09 JUN 2006

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of :  
Andreas PFALTZ et al. : **Mail Stop: PCT**  
Serial No. NEW : Attorney Docket No. 2006\_0704A  
Filed June 9, 2006 :  
METHOD FOR PRODUCING  
ORTHOMETALATED AND  
ORTHOSUBSTITUTED  
AROMATIC COMPOUNDS :  
[Corresponding to PCT/EP2004/053388  
Filed December 10, 2004]

THE COMMISSIONER IS AUTHORIZED  
TO CHARGE ANY DEFICIENCY IN THE  
FEE FOR THIS PAPER TO DEPOSIT  
ACCOUNT NO. 23-0975.

#### INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Pursuant to the provisions of 37 CFR 1.56, 1.97 and 1.98, Applicants request consideration of the references listed on attached form PTO-1449 and any additional information identified below in paragraph 3. A legible copy of each reference listed on the Form PTO-1449 is enclosed.

1a. ☒ This Information Disclosure Statement is submitted:

within three months of the filing date (or of entry into the National Stage) of the above-entitled application, or

before the mailing of a first Office Action on the merits or the mailing of a first Office Action after the filing of an RCE,

**and thus no certification and/or fee is required.**

1b. ☐ This Information Disclosure Statement is submitted

after the events of above paragraph 1a and prior to the mailing date of a final Office Action or a Notice of Allowance or an action which otherwise closes prosecution in the application, and thus:

(1) ☐ the certification of paragraph 2 below is provided, **or**

(2) ☐ the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

1c. ☐ This Information Disclosure Statement is submitted:

after the mailing date of a final Office Action or Notice of Allowance or action which otherwise closes prosecution in the application, and prior to payment of the issue fee, and thus:

**the certification of paragraph 2 below is provided, and**

**the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.**

2. It is hereby certified

a. ☐ that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Statement, or

b. ☐ that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of the Statement.

3. ☐ Consideration of the following list of additional information (including any copending or abandoned U.S. application, prior uses and/or sales, etc.) is requested.

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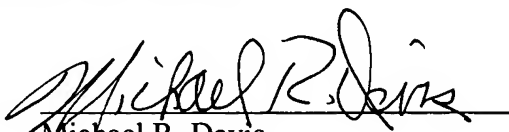
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4. For each non-English language reference listed on the attached form PTO-1449, reference is made to:
- a. ☐ a full or partial English language translation submitted herewith,
  - b. ☒ a foreign patent office search report (International Search Report) submitted herewith,
  - c. ☐ the concise explanation contained in the specification of the present application at page,
  - d. ☒ the concise explanation set forth in the attached English language abstract,
  - e. ☐ the concise explanation set forth below or on a separate sheet attached to the reference:
5. ☒ A foreign patent office search report (International Search Report) citing one or more of the references is enclosed.

Respectfully submitted,

Andreas PFALTZ et al.

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June 9, 2006

## INFORMATION DISCLOSURE STATEMENT

FORM PTO 1449 (modified)

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICELIST OF REFERENCES CITED BY APPLICANT(S)  
(Use several sheets if necessary)

Date Submitted to PTO: June 9, 2006

ATTY DOCKET NO.  
2006\_0704ASERIAL NO.  
NEW

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APPLICANT  
Andreas PFAFF

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FILING DATE  
June 9, 2006

GROUP

## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA						

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
	AB	03/031456	4/2003	WO			
	AC	02/083695	10/2002	WO			
	AD	03/048107	6/2003	WO			
	AE	100 52 391	5/2002	Germany			
	AF	0 803 510	10/1997	Europe			
	AG	03/093285	11/2003	WO			
	AH	0 842 140 B	5/1998	Europe			
	AI	03/076451	9/2003	WO			

## OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)

	AJ	Kurt Drewelies et al., "o- and m-Phenylenebis(dichlorophosphane)-Versatile, Useful Synthetic Building Blocks", Angewandte Chemie. International Edition, Verlag Chemie. Weinheim, DE, Vol. 21, No. 8, 1982, pages 638-639, XP002192246, ISSN: 0570-0833.
	AK	Michael Mehring et al., "The First Rigid O,C,O-Pincer Ligand and Its Application for the Synthesis of Penta- and Hexacoordinate Organotin(IV) Compounds", Organometallics, 17 (6), pages 1227-1236, 1998, XP002323768, ISSN: 0276-7333.
	AL	Manfred T. Reetz et al., "New non-C <sub>2</sub> -symmetric phosphine-phosphonites as ligands in asymmetric metal catalysis", Tetrahedron: Asymmetry, 10, pages 2129-2137, 1999, XP004174097, ISSN: 0957-4166.
	AM	Konstantin W. Kottsieper et al., "Synthesis of enantiopure C1 symmetric diphosphines and phosphino-phosphonites with ortho-phenylene backbones", Tetrahedron: Asymmetry, 12, pages 1159-1169, 2001, XP004245864, ISSN: 0957-4166.
	AN	M. Davis et al., "The Synthesis of Certain Chelating Diteriary Phosphines", Journal of the Chemical Society, Chemical Society. Letchworth, GB, pages 3786-3790, 1964, XP002160687, ISSN: 0368-1769.
	AO	Juan J. Almena Perea et al., "Synthesis and application of C <sub>2</sub> -symmetric diamino FERRIPHOS as ligands for enantioselective Rh-catalyzed preparation of chiral $\alpha$ -amino acids", Tetrahedron: Asymmetry, 10, pages 375-384, 1999, XP004158858, ISSN: 0957-4166.

EXAMINER

DATE CONSIDERED